




CERTIFICATE OF MAILING  
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

April 16, 1998  
Date

  
Shelley P.M. Fussey

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
David H. Price

Serial No.: 08/951,188

Filed: October 15, 1997

For: P-TEFb COMPOSITIONS, METHODS  
AND SCREENING ASSAYS

Group Art Unit: Unknown

Examiner: Unknown

Atty. Dkt. No.: IOWA:012/FUS

RESPONSE TO 37 C.F.R. § 1.53(D) NOTICE

**BOX MISSING PART**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(d), dated April 9, 1998, there are enclosed herewith:

- (a) Declaration executed on behalf of David H. Price;
- (b) A Power of Attorney on behalf of The University of Iowa Research Foundation;
- (c) A Declaration Claiming Small Entity Status executed on behalf of The University of Iowa Research Foundation;

- (d) Request for Complete Filing Receipt;
- (e) An Information Disclosure Statement PTO Form 1449 and copy of references;
- (f) Our check in the amount of \$1,305.00 to cover the basic filing fee (\$395 - utility small entity); surcharge for late filing (\$65.00); and additional claims fee (\$845.00); and
- (g) A copy of Notice to File Missing Parts of Application-Filing Date Granted.

An Assignment to The University of Iowa Research Foundation and a check for \$40.00 are being filed under separate cover.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Arnold, White & Durkee Deposit Account No. 01-2508/IOWA:012/FUS.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,



Shelley P.M. Fussey  
Reg. No. 39,458  
Agent for Applicant

ARNOLD, WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

Date: April 16, 1998

FUS AUSTIN  
IOWA  
012



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
08/951,188	10/15/97	PRICE	D IOWA-012/FUS



ARNOLD WHITE AND DURKEE  
POST OFFICE BOX 4433  
100 BERING DRIVE STE 400  
AUSTON TX 77057-2198

0222/0409

NOT ASSIGNED

1642

DATE MAILED:

04/09/98

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 130.00 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed), is \$ 2670.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
- ☐ insufficient.

Applicant must submit \$ 790.00 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ 1690.00, including any multiple dependent claim fees, are required.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
- ☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.201).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the response.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

File Missing  
DATE  
**DOCKETED**  
FOR 6/4/98  
BY HT  
CHK'D BY CH

8888  
8888  
355-779-6655  
REC'D A.W.D.  
APR 14 1998  
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1998 W/1181 08000065 080951188

**BEST AVAILABLE COPY**



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37 C.F.R. 1.8

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Examiner: Unknown

Atty. Dkt. No.: IOWA:012/FUS

**REQUEST FOR COMPLETE FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

A complete filing receipt is hereby requested in view of the fact that the inventor's address does not appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the omission has been noted in red.

Because the omission is not due to any error by Applicant, no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner is

hereby authorized to deduct said fee from Arnold, White & Durkee Deposit Account No. 01-2508/IOWA:012/FUS.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



Shelley P.M. Fussey  
Reg. No. 39,458  
Agent for Applicant

ARNOLD, WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

Date: April 16, 1998

FILING RECEIPT

FUS  
IOWA  
012



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/951,188	10/15/97	1642	\$0.00	IOWA-012/FUS	0	67	11

ARNOLD WHITE AND DURKEE  
POST OFFICE BOX 4433  
750 BERING DRIVE STE 400  
HOUSTON TX 77057-2198

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

DAVID H. PRICE, IOWA CITY, IOWA

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/029,760 10/25/96

FOREIGN FILING LICENSE GRANTED 03/25/98

TITLE

P-TEFB COMPOSITIONS, METHODS AND SCREENING ASSAYS

PRELIMINARY CLASS: 424

STATUS INQUIRY  
O. G. List

REC'D - A.W.D.

MAR 27 1998

DOCKET DESK